# Fiscal Year 2011 Homeland Security Grant Program Guidance for Maine Communities

October 2011

## \*\*PLEASE READ CAREFULLY BEFORE PREPARING APPLICATIONS\*\*

#### A. Overview:

Funding has been provided by the federal Department of Homeland Security (DHS) to the State of Maine, through the Maine Emergency Management Agency (MEMA) via the State Homeland Security Grant Program. This grant provides funding to better prepare Maine communities and Maine first responders to prevent, prepare for, respond to, and recover from terrorist attacks and other all-hazard events.

DHS's 2008 <u>Strategic Plan</u> clearly underscores the need for an All Hazards approach: "Our Nation faces threats from both natural and man-made sources. We will take an all-hazards approach to emergency management that allows us to respond effectively to all emergencies, whether caused by acts of nature or by our enemies."

Maine continues to make great progress across our state using funds from previous years of Homeland Security Grant awards. Communities should continue to maintain their ability to detect, deter, and disrupt potential terrorist activity in accordance with the State of Maine Homeland Security Strategy (SHSS). While the complete SHSS is restricted from open posting, the following Goals are the priorities for the state of Maine:

- 1. Prevention
- 2. Response
- 3. Recovery
- 4. Preparedness

Among the Tasks which have been identified by Maine's Homeland Security Advisory Council, the following have the highest priority:

- 1. Continue All-hazards planning
- 2. Improve Critical Infrastructure protection
- 3. Provide WMD/Terrorism/HAZMAT response training to first responders
- 4. Improve Interoperable Communications
- 5. Maintain the capabilities of the Maine Information & Analysis Center
- 6. Support the statewide exercise program
- 7. Support HAZMAT Team equipment needs
- 8. Support Mass Care plans, exercises, & needs
- 9. Support Law Enforcement-specific preparedness and prevention needs

Grant requests must have a direct tie to these nine highest-priority tasks <u>as well as</u> the eight application categories contained in Section D. The Grant Review Committee will

not consider requests for equipment, planning, or training that do not relate directly to these tasks.

Special consideration will be given to applications that are constructed to mitigate a *regional concern* or are *multi-discipline/multi-jurisdictional*.

In the 2009 State Preparedness Report (SPR), MEMA continued to underscore the importance of All-Hazard preparedness when prioritizing homeland security and emergency management needs.

Local officials are strongly encouraged to consult ALL emergency plans when submitting grant applications to ensure the grant application helps meet the needs identified in those plans.

## **B. Funding Allocations and Deadlines:**

For FY2011, the Federal process to allocate Homeland Security Grant funding to States remained a nationally competitive process. With reduced funding available, MEMA has opted to continue the strategy begun in the FY2005 round to award grant dollars to Maine's Counties, communities, and State agencies on a competitive basis.

A total of approximately \$1.525 million is available statewide for allocation under the competitive process. Of the available total, \$981,000 is available to non-law enforcement entities at the Tribal/County/Local level and \$765,000 is available to law enforcement entities at the Tribal/County/Local level. Applications will be accepted in the eight task areas, which are identified above. For local and county applicants, applications must be submitted to County EMA offices no later than the Close of Business (5 p.m. Eastern Time) on Thursday, December 1, 2011. For State or Tribal applicants, applications must be submitted to MEMA no later than the Close of Business (5 p.m. Eastern Time) on Thursday, December 1, 2011. Applications received after the deadline will not be considered for funding. Once projects have been approved and awards have been accepted, subgrantees will have until February 28, 2014 to complete project activities and request reimbursement from MEMA.

# C. National Incident Management System (NIMS) Requirements:

DHS has published guidance on benchmarks that agencies must achieve in order to be recognized as compliant with NIMS. Such efforts include, but are not limited to:

- Adoption of NIMS by the jurisdiction through Proclamation, Resolve, Ordinance, or other means of local government recognition
- Development and adoption of an Emergency Operations Plan (EOP) for the jurisdiction that meets NIMS criteria
- Registration and completion of the National Incident Management System Capability Assessment Support Tool (NIMSCAST).
- Training of first responders to the appropriate levels of Incident Command System (ICS) training as outlined in an implementation plan

• Ensuring the inventory and typing of emergency response equipment to national standards (to include Public Works assets)

HSGP applicants are required to ensure registration and reporting of their jurisdiction's compliancy efforts through the NIMSCAST online tool. According to current federal policies, NIMSCAST scores should reflect **100%** for Counties and communities to be considered having achieved full NIMS compliancy for 2011 requirements.

NOTE: Applicants for HSGP funding must be 100% compliant at the time of application (Friday, November 18, 2011) to be eligible for consideration of funding. Per federal requirements, Corrective Action Plans (CAPs) will no longer be accepted in lieu of 100% NIMS compliance.

To ensure jurisdictions have additional time to complete this year's new NIMS requirements we have devised a new procedure. As in years past, County EMAs rolled-up their counties in NIMSCAST prior to 10/1/2011 to ensure that the State of Maine remains NIMS compliant as a whole. If Jurisdictions within specific Counties have become NIMS compliant between 10/1/2011 and 12/1/2011, the County EMA may roll-up their counties again and report that fact to MEMA to establish that those jurisdictions are currently NIMS compliant.

Jurisdictions which are not required to complete the NIMSCAST assessment due to their size or level of capability must still demonstrate formal adoption of the NIMS and maintain a current EOP and prove that to the satisfaction of the County EMA.

School Departments/Regional School Units/School Administrative Districts must provide a document signed by the senior administrator of the organization attesting to the organization's NIMS compliance. The ultimate decision if an educational organization is NIMS compliant rests with the County EMA for County/Local organizations and with MEMA for state-level organizations. If an educational organization's boundaries include jurisdictions in multiple counties, the County EMAs involved must work together to determine the organization's NIMS compliancy status.

More information on NIMS compliance, NIMSCAST, and requirements can be obtained by contacting the County Emergency Management Agency or MEMA.

# D. Application Categories:

Through the **State Preparedness Report** process, MEMA identified several priorities for the next three years. Many of these priorities are reflected in the grant categories below, such as: local and county Emergency Operations Planning, continued training and exercising, implementing the Statewide Communications Interoperability Plan (SCIP), increased disaster preparedness, and response and recovery planning (including special needs and pets).

Ongoing reviews and strategy documents, along with consultation with County EMA Directors, has enabled MEMA to determine the following major categories of eligibility for FY2011 HSGP applications.

To the extent possible, MEMA encourages applicants to address <u>regional issues</u> and work with neighboring communities to maximize impacts of grant funding. Because of the very limited funding available for the FY2011 grant round, MEMA is focusing applications to eight main areas, reflecting priorities outlined in various reviews and Homeland Security Task Force recommendations noted above:

1. <u>All Hazards Emergency Planning:</u> MEMA recognizes the ongoing need of Counties and communities to update, revise, and coordinate emergency planning activities. Grant applications are encouraged to assist with revision of existing plans or development of new plans that Counties or communities may be missing.

Planning focus areas suggested, but not limited to: County and Local EOPs, school emergency plans (see additional info on school planning initiatives below), disaster recovery plans, shelter management plans, hurricane, evacuation, continuity of operations and debris management plans.

If funds are to be used to hire planning assistants, applicants should be clear in noting which specific plans will be developed or updated. Funding may be used to hire full or part time planning assistance; however grantees will be expected to demonstrate clear objectives and outcomes, as well as provide copies of work completed by the end of the grant period.

2. <u>School District Emergency Planning and Training:</u> As noted by the Maine Legislature's Homeland Security Task Force, and reflecting the recommendations following the tragic events at Virginia Tech University, emphasis has been placed on the development of security and emergency plans for school districts and university campuses in Maine.

MEMA and the Maine Department of Education have been collaborating closely to provide technical assistance and recommendations to school districts wishing to update and improve all hazards emergency plans. Because of the critical importance of school emergency planning, a separate planning category for schools has been continued for FY2011. MEMA and DOE have provided extensive school planning resources at: <a href="http://www.maine.gov/mema/prepare/schools/index.shtml">http://www.maine.gov/mema/prepare/schools/index.shtml</a>.

Applications will be accepted from regional school districts and university/community colleges seeking to develop or revise emergency plans or improve all hazards training for staff and students, including anti-terrorism training, which focuses on particular vulnerabilities to educational environments, such as the use of school buses, mass gathering events, etc. Applicants are reminded to include all community partners in planning and training conducted to improve school safety plans and procedures.

3. <u>Interoperable Communications:</u> Applications will be accepted for projects designed to improve the interoperable communications capabilities of first responder agencies. Applicants should review the State of Maine Communications Interoperability Plan (SCIP) for information on the vision and direction for interoperability in Maine.

FY2011 HSGP Interoperable Communications applications should focus on the following project areas: Communications Technology and Technology Support. Please note that for technology projects, the State's primary emphasis is to enhance interoperable communications capabilities for first responders and to prepare agencies for future narrow band frequency compliance standards.

Specific questions regarding each jurisdiction's status toward becoming narrow band-compliant are included in the application for interoperable communications equipment. The answers to these questions will assist the grant review committee to make more informed allocation decisions.

MEMA constructed the SCIP to build an interoperable communications infrastructure within the state. MEMA completed and filed a State Preparedness Report for 2009 with the Department of Homeland Security, and performed several gap analysis and capabilities reviews in cooperation with FEMA Region One and FEMA headquarters.

Applicants must show the ability to support the annual operations and maintenance costs for the new technology in future years.

4. <u>Training and Exercising:</u> Applications will be accepted for authorized training courses and exercise development and conduct. Eligible training courses are listed in the National Integration Center Training and Education Division Course Catalog at: <a href="http://www.ojp.usdoj.gov/odp/training\_catalog.htm">http://www.ojp.usdoj.gov/odp/training\_catalog.htm</a>

Submitted Training and Exercise applications <u>MUST</u> be for development and conduct of an all hazards program.

Exercises must follow the Homeland Security Exercise and Evaluation Program (HSEEP) guidelines, which are available at: <a href="https://hseep.dhs.gov/">https://hseep.dhs.gov/</a>.

- 5. <u>MIAC</u>: Support and training for the Maine Information and Analysis Center (MIAC). Supporting fusion centers is a national priority.
- 6. <u>Mass Care</u>: Support for Mass Care (including functional needs populations) to include planning for shelters, running mass care shelter exercises, and other shelter needs (including complying with ADA regulations), but does not include construction or renovation projects.
- 7. <u>Critical Infrastructure Protection</u>: Efforts directly related to improving the protection or response capabilities at specific Critical Infrastructure sites in Maine. Jurisdictions can contact MEMA to determine if any of these sites are in their jurisdiction.
- 8. <u>Law Enforcement:</u> Support for Law Enforcement-specific equipment, training and exercise. Investments under this category should have an impact on the applying agency's preparedness, prevention or information-sharing capabilities.

#### E. Allowable Uses:

Grant funding must be spent in accordance with the updated SHSS which was approved by DHS in December 2009. As with previous Homeland Security Grants, DHS regulations permit the purchase of specific equipment and services under this grant, as well as costs associated with all-hazards planning, and with conducting WMD/HazMat training courses and exercises.

The official Authorized Equipment List (AEL) issued by DHS details the eligible uses under the Homeland Security Grant Program.

For grants to agencies other than law enforcement, the SHSP-specific AEL is available at the Responder Knowledge Base website at:

https://www.rkb.us/mel.cfm?filter=filter&subtypeid=549&grantlist=0&grantlist=258910

For grants to law enforcement agencies, the LETPP-specific AEL is available at the Responder Knowledge Base website at:

https://www.rkb.us/mel.cfm?filter=filter&subtypeid=549&grantlist=0&grantlist=228386

Jurisdictions must ensure that the items they are requesting appear on the AEL when filling out the grant request. Aside from appearing on the AEL, the requested items must also be of primary use to one of the Areas of Priority. If the jurisdiction cannot find a desired item on the AEL, please contact your County Emergency Management Agency or MEMA for assistance.

## F. Application Process:

According to the federal HSGP grant guidance, eligible local entities include "any county, city, village, town, district, borough, port authority, transit authority, water district, regional planning commission, council of government, Indian tribe, authorized tribal authorization, Alaska Native village, or other political subdivision of any State." Eligible applicants include <u>all</u> members of the first responder community (Police, Fire, EMS, Hospitals, Public Works, Governmental and School District officials, etc). County EMA directors must determine top priorities and critical needs for their jurisdictions' application(s). Equally important is the requirement that these funds <u>must not</u> <u>supplant the normal budgetary responsibilities of a community.</u>

No matching funds are required on behalf of local governments to access grant funds. Once an application has been approved, and in keeping with federal accountability and reporting requirements, MEMA will require a signed Memorandum of Understanding (MOU) and Terms and Conditions documentation which accept Homeland Security Grant funding on behalf of the community or agency. Grant dollars cannot be reimbursed to a jurisdiction until the signed/completed MOU and Terms and Conditions Documents are received at MEMA.

Because of limited funding, applications that require large funding totals should be specific enough to delineate stand-alone portions of the overall project. This will increase the chances for at least a partial approval.

#### G. Quotes:

Copies of formal quotes from equipment vendors must be included in the grant package if a jurisdiction/agency is applying for grant monies to purchase equipment.

Applicants must provide at least three quotes from different vendors, <u>or</u> clearly describe how they followed the jurisdiction's own established purchasing rules/requirements.

If three quotes are not available, clearly describe why they are not available.

<u>Failure to provide quotes/clear explanations for the lack of quotes will result in the grant application not being scored and the package will not be considered.</u>

#### H. Overtime:

Overtime costs must be in accordance with local jurisdiction rules. All costs are auditable and must be fully documented.

#### I. Instructor Fees:

Instructor fees must be in line with the state-established guidelines.

## J. SARA Title 3 EPCRA Reporting:

To receive grant funds in a jurisdiction, all municipally-owned facilities must be in compliance with SARA Title 3 EPCRA reporting. If a jurisdiction is awarded a grant, no monies will be released to the jurisdiction unless and until that jurisdiction is fully in compliance with SARA Title 3 EPCRA reporting.

**K. Population:** Your application must include the population served by the investment. If your application is for a local jurisdiction, then include the jurisdiction's population, for a county, include the total county population. For a regional application include the population numbers for the region which will receive benefits from any awards.

## L. A-133 Audit Requirements:

As required by the Federal Government, the Maine Emergency Management Agency (MEMA) is required to monitor the activities of sub recipients that receive Federal Financial Assistance disbursed by MEMA in any given fiscal year. This may include Homeland Security Grant Program funds, Emergency Management Performance Grant funds, Disaster Public Assistance funds, or any other source of federal funds received by your entity, including funds that do not come from MEMA.

If you have expended over \$500,000 combined for <u>all</u> Federal Financial Assistance during your fiscal year, an A-133 audit is required by federal law. If an A-133 audit is required for your entity, please provide Maine Emergency Management Agency with a copy of your most recent A-133 audit report within 2 weeks of receipt of this notification. If you were <u>not</u> required to file an A-133 report, please send a copy of your most recent audited financial report.

MEMA is required to track the submission of these reports and follow up on any pertinent findings before dispersing federal funds to grant sub recipients. Not having a copy of your town's report in our files may delay the reimbursement of funding until our records are up to date.

#### M. Deadlines:

### County/Local Agencies:

In order to be eligible for consideration for grant funding, <u>all county and local applications must be submitted to County EMA Offices</u> no later than Close of Business (5 p.m. Eastern Time) on **Thursday December 1, 2011**. County EMA offices must submit their county's prioritized list of top ten grant applications and grant packages to MEMA (<u>HSGrants.Maine@maine.gov</u> or 45 Commerce Drive, Suite 2, Augusta, ME 04333 Attn: FY2011 HSGP Applications c/o Deborah Sullivan-Alley) no later than **Thursday, December 22, 2011**. Applications submitted by local agencies are received electronically at MEMA and immediately retransmitted to County EMAs for review.

## State Agencies:

All tribal or state agency applications must be submitted to MEMA (<u>HSGrants.Maine@maine.gov</u> or 45 Commerce Drive, Suite 2, Augusta, ME 04333 Attn: FY2011 HSGP Applications c/o Deborah Sullivan-Alley) no later than Close of Business (5 p.m. Eastern Time) on **Thursday**, **December 1**, **2011**.

MEMA will conduct a Grant Review Committee process as in past years and will notify applicants selected for funding as soon as practicable.

For those projects that receive approval and grant funding, all grant funds must be expended by **February 28, 2014.**